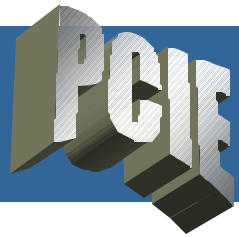


AGA Federal Oversight Companion Survey: Focusing on 20/20 Communications



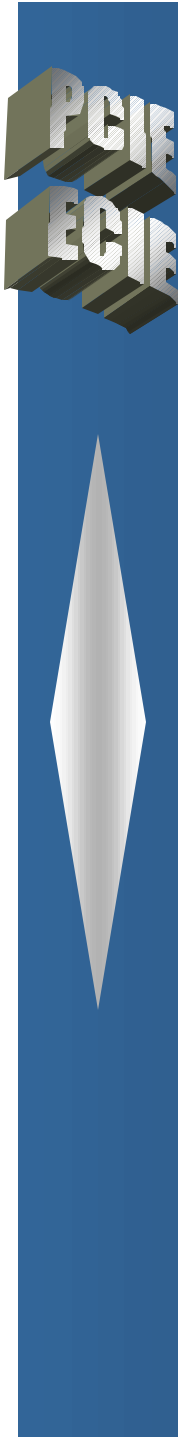
President's Council on Integrity and Efficiency

Executive Council on Integrity and Efficiency



Gaston L. Gianni, Jr.
Vice Chair, PCIE

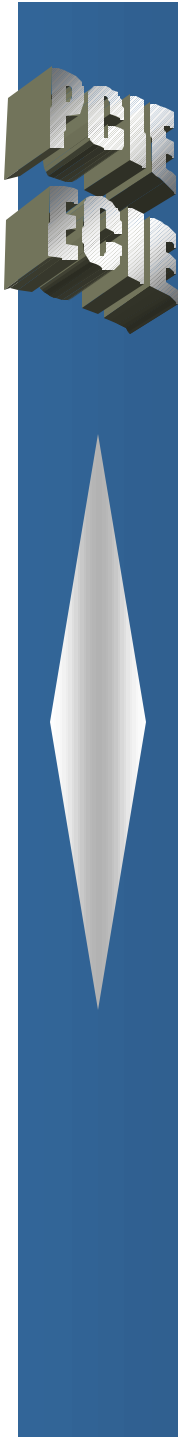




Overview



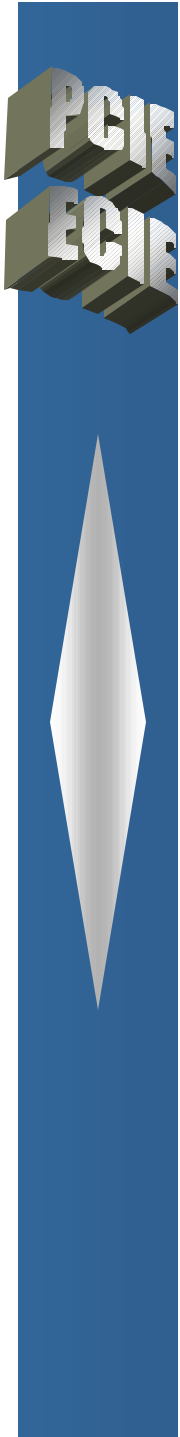
- Background
- Strategic Focus
- IGs and CFOs--Areas of Agreement
- Stakeholders Impacting Oversight
- OIG Accomplishments
- Future Direction for IG Community



Background



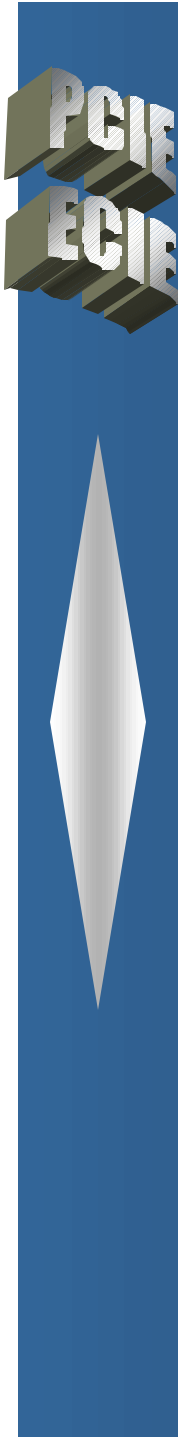
- The IGs were Established
 - ▼ HHS IG established - 1976
 - ▼ IG Act of 1978 established IGs in 12 Federal agencies
 - ▼ IG Act Amendments of 1988 established IGs at designated Federal entities
 - ▼ 57 OIGs provide oversight for 59 agencies



Background



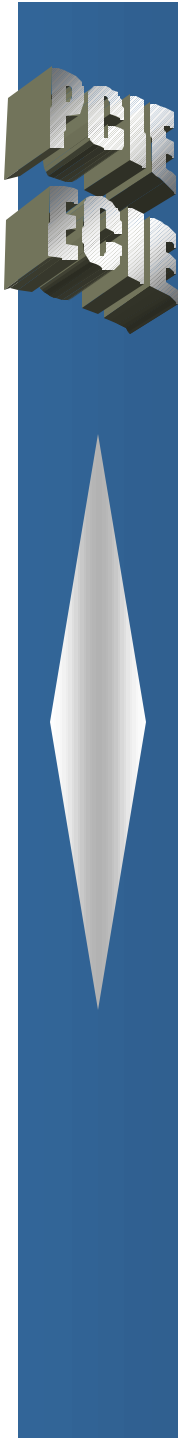
- Responsibilities under the IG Act
 - ▼ Conduct independent and objective audits, investigations, and inspections
 - ▼ Prevent and detect waste, fraud, and abuse
 - ▼ Promote economy, effectiveness, and efficiency
 - ▼ Review pending legislation and regulation
 - ▼ Keep agency head and Congress fully and currently informed



Background



- President's Council on Integrity and Efficiency (PCIE) and Executive Council on Integrity and Efficiency (ECIE)
 - ▼ The PCIE was established by Executive Order in March 1981
 - ▼ The ECIE was established by Executive Order in May 1992
 - ▼ 28 PCIE and 29 ECIE members
 - ▼ OMB, Office of Government Ethics, Office of Special Counsel, FBI, and OPM

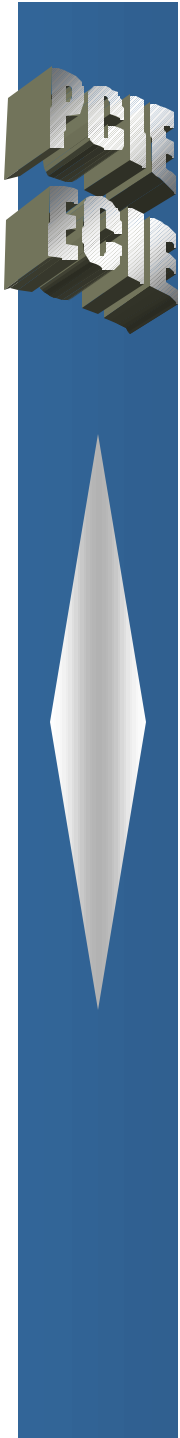


Strategic Focus



■ ***Vision Statement***

- ▼ To be an effective and influential force in identifying vulnerabilities and facilitating government excellence
- ▼ To lead and promote integrity, accountability, and excellence in governance through efforts to prevent and detect fraud, waste, and abuse

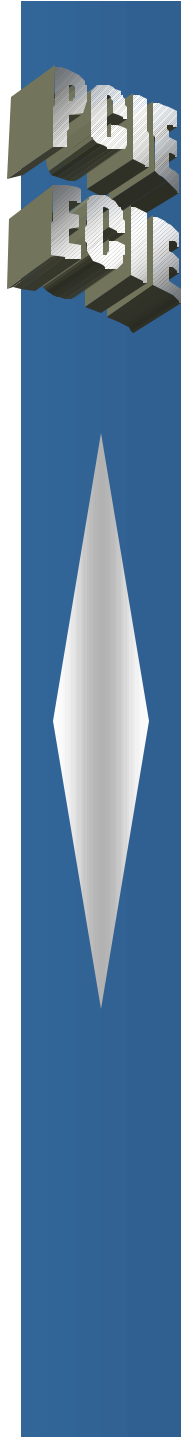


Strategic Focus



■ ***Mission Statement***

- ▼ Independently anticipate and communicate weaknesses and vulnerabilities of the government
- ▼ Facilitate solutions
- ▼ Identify opportunities for improved performance

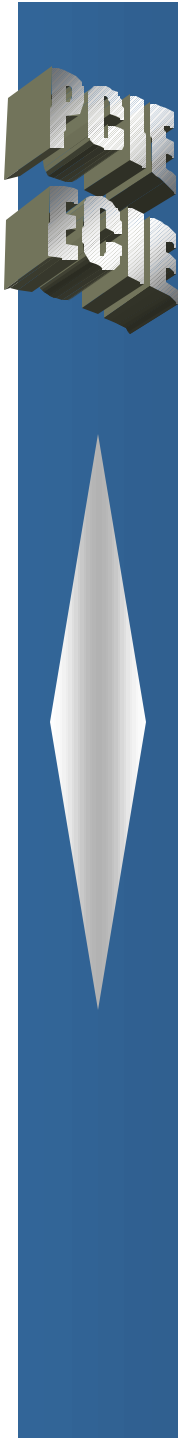


Strategic Focus



■ ***Strategic Themes***

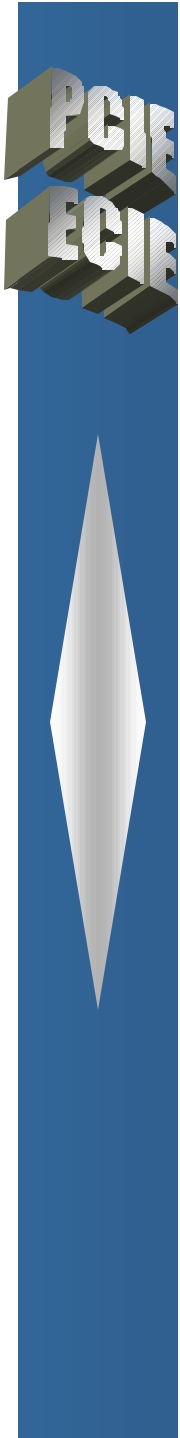
- ▼ Shaping good government
- ▼ Taking care of our people
- ▼ Protecting the integrity, effectiveness, and image of the OIG community



IGs and CFOs: Areas of Agreement



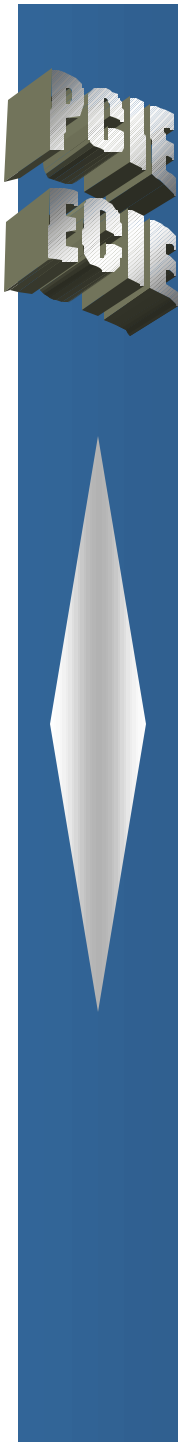
- Desire for Similar Goals
 - ▼ Improved operations
 - ▼ Share best practices
 - ▼ Growing and prosperous partnerships
 - ▼ Open lines of trust and communication



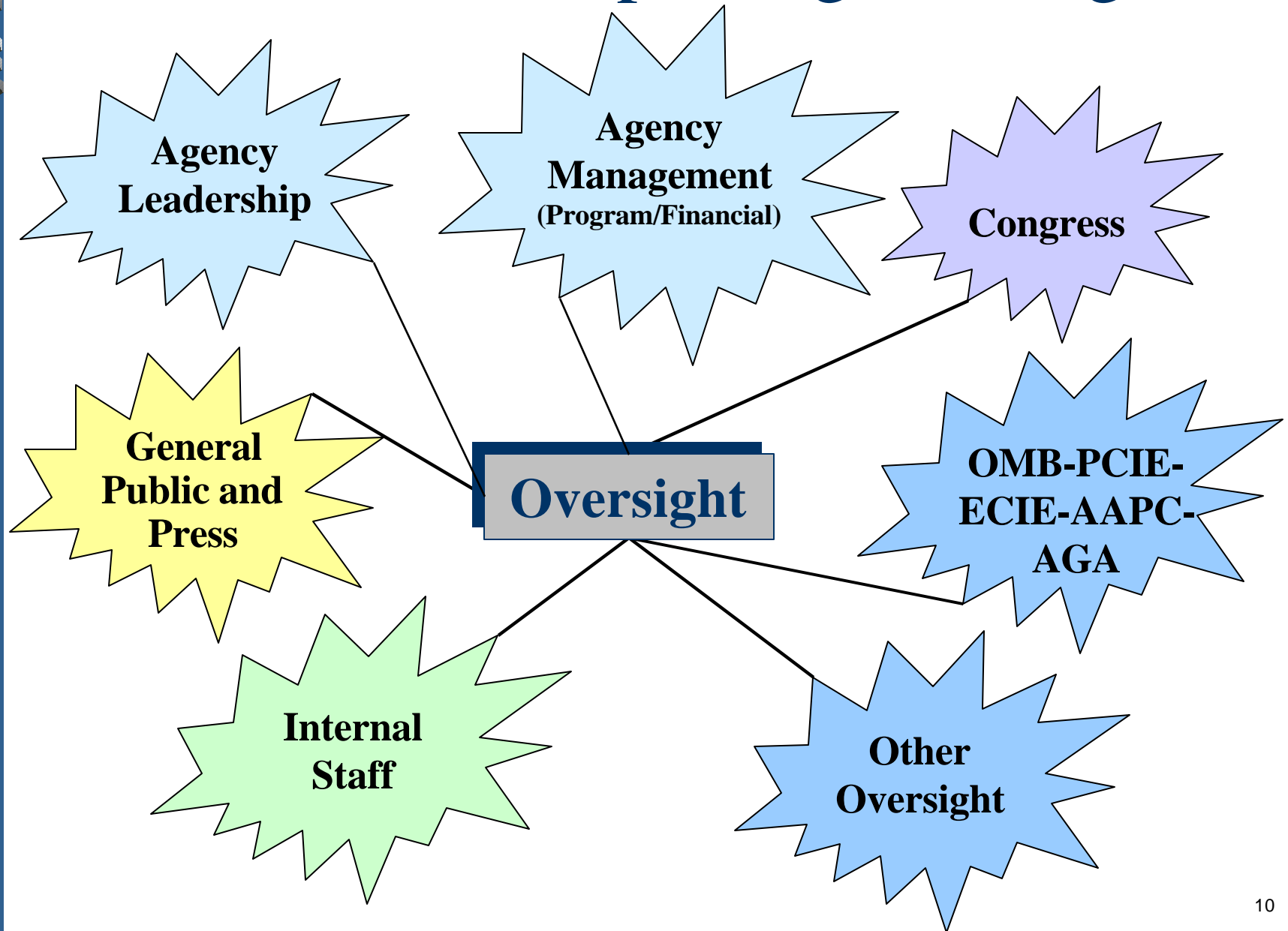
IGs and CFOs: Areas of Agreement

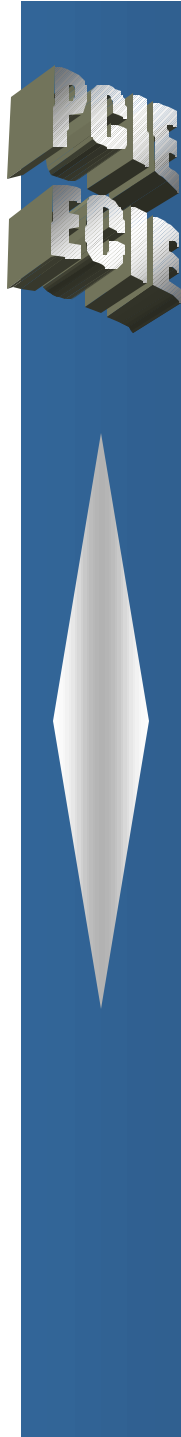


- Good Communication is Key
 - ▼ Frank and open dialogue ensures attention on needed areas
 - ▼ Clear understanding as to roles and responsibilities
 - ▼ Address areas of frustration (i.e., planning, ground rules, etc.)
 - ▼ Trust is vital
 - ▼ Cooperation is critical



Stakeholders Impacting Oversight





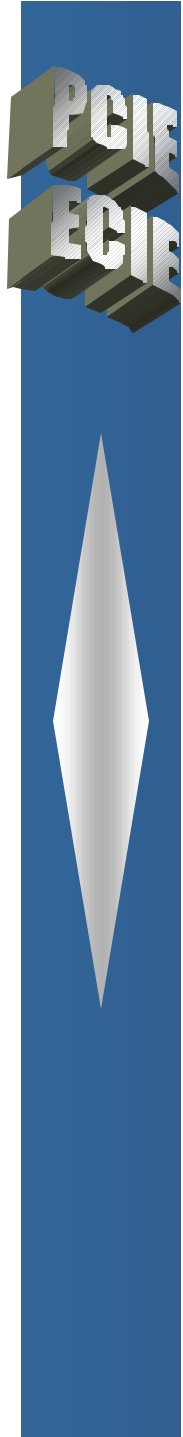
Stakeholders Impacting Oversight



■ Agency Leadership and Management

▼ ***Best Practices***

- Keep leadership informed
- Participation in planning process
- Institutional respect
- Unified focus toward agency success
- Solution-oriented language directed at process improvements
- Input in resolving audit recommendations



Stakeholders Impacting Oversight



■ Agency Leadership and Management

▼ *Challenges*

- Standardized orientation on IG Act
- IG should be “right hand” of Agency head
- Ensure IG seen as independent yet part of Agency management team



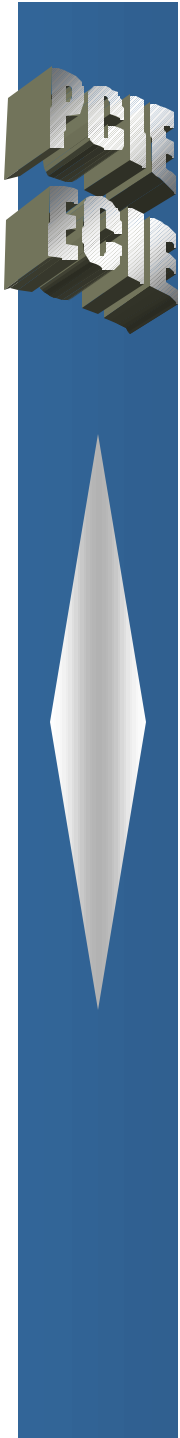
Stakeholders Impacting Oversight



■ Congress

▼ *Best Practices*

- Proactive communication
- Seek clarification on requests and ground rules for conducting review
- Obtain input for IG planning process
- Sensitive to meeting Congress' needs while avoiding agency alienation



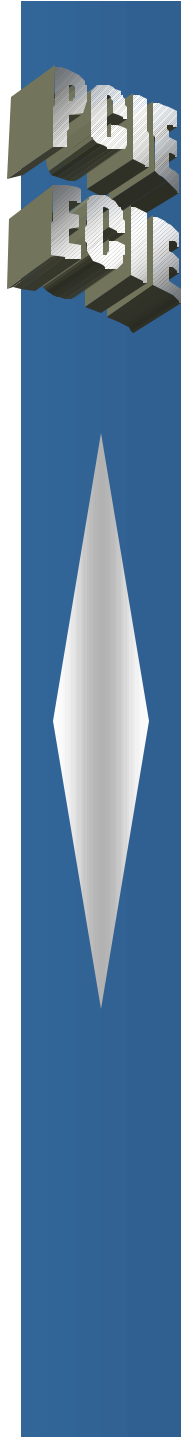
Stakeholders Impacting Oversight



■ Congress

▼ *Challenges*

- Responsibility to address substantial noncompliance
- Increase hearings by IG oversight committee
- Standardized orientation on IG Act to expand understanding of IG roles and responsibilities



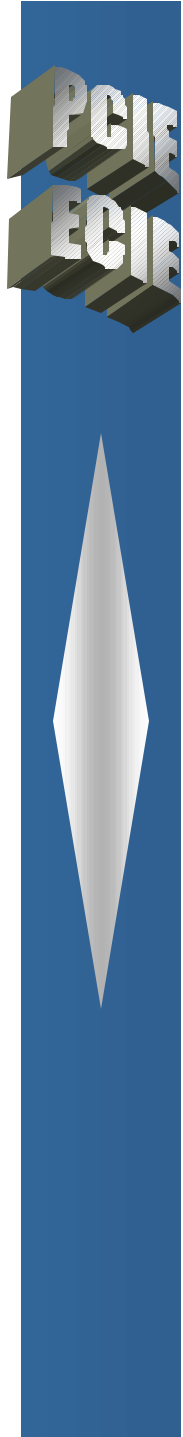
Stakeholders Impacting Oversight



■ Internal Staff

▼ *Best Practices*

- Empowered and informed employees
- Emphasize communication, consistency and solution-oriented reports
- Maintain awareness of political environment
- Acknowledge/reward productive staff



Stakeholders Impacting Oversight



■ Internal Staff

▼ *Challenges*

- Constant focus on good communication and working environments
- More flexible hiring incentives
- Increased use of informal management services



Stakeholders Impacting Oversight



■ General Public and Press

▼ *Best Practices*

- Proactive public relations
- Respond to all inquiries
- Issue reports as public documents
- Designate only top managers empowered to speak to press



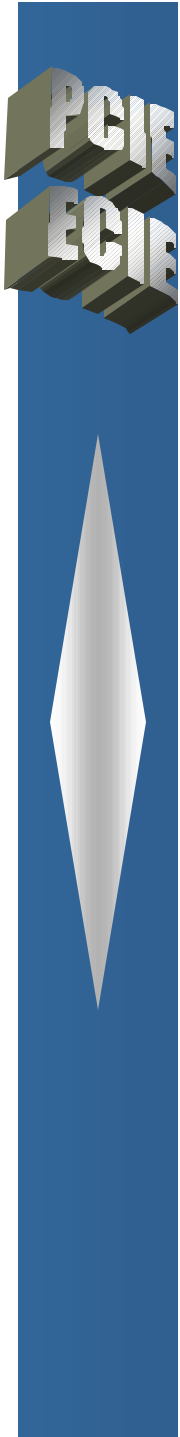
Stakeholders Impacting Oversight



■ General Public and Press

▼ *Challenges*

- Balance the rewards and possible consequences
- Present united front by issuing joint press releases on high visibility reports/issues
- Include government auditing in university curriculum



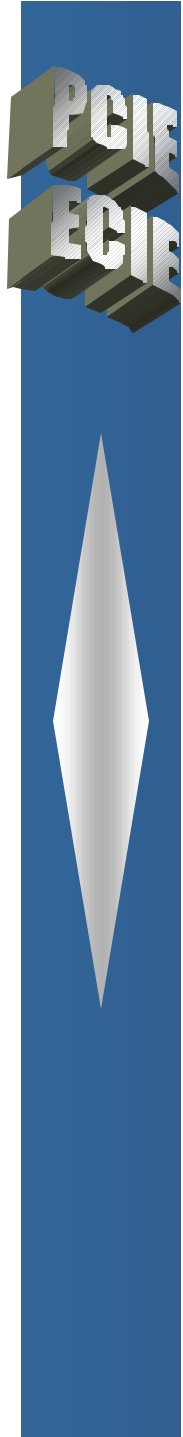
Stakeholders Impacting Oversight



■ Other Stakeholders (OMB, GAO, PCIE/ECIE, etc.)

▼ *Best Practices*

- Networking
- Sharing specialized skills
- Partnering with contractors
- Coordinating review starts
- Participating in guidance setting bodies



Stakeholders Impacting Oversight



■ Other Stakeholders

▼ *Challenges*

- Stronger PCIE/ECIE agenda
- Facilitate sharing expertise
- Stronger positive voice across government on roles, responsibilities, and standard setting



OIG Accomplishments



■ Fiscal Year 1999 Results (July 2000 Report)

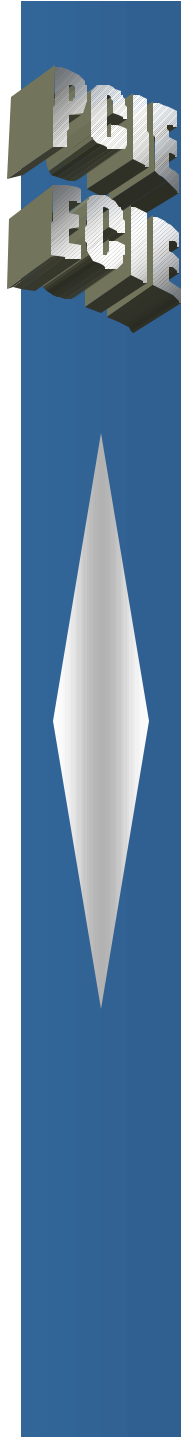
- ▼ Nearly \$10.5 billion in recommendations for more efficient use of funds
- ▼ More than \$8.2 billion in potential savings
- ▼ Over 13,000 criminal prosecutions
- ▼ Nearly 6,700 barred from doing business
- ▼ Over 1,200 civil actions



OIG Accomplishments



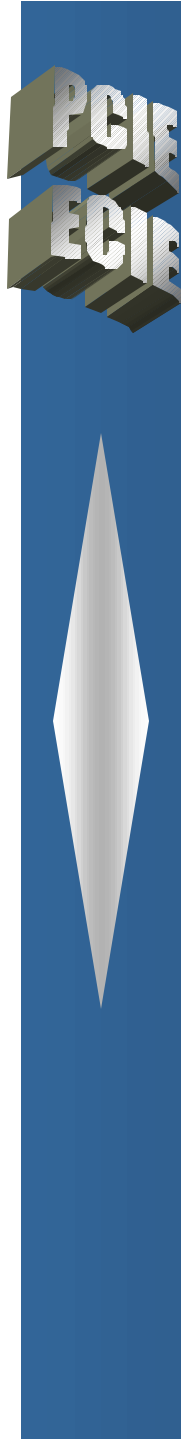
- Fiscal Year 1999 Focus
(July 2000 Report)
 - ▼ Y2K Readiness
 - ▼ Information Technology
 - ▼ System Security
 - ▼ GPRA
 - ▼ Integrity and Accountability



Future Direction of IG Community



- Integrity of Public Programs
- Financial Accountability
- E-Government
- Critical Infrastructure
- Human Capital



Questions?

